

06/24/03  
17668 U.S. PTO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ATTY DOCKET NO.: 9158-2IP  
DATE: June 23, 2003

PATENT

31730 U.S. PTO  
10/601619  
06/24/03

UTILITY PATENT APPLICATION TRANSMITTAL LETTER  
AND FEE TRANSMITTAL FORM (37 CFR 1.53(b))

Mail Stop PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is:

- ☐ a patent application  
☐ a Continuation ☐ a Divisional ☒ a Continuation-in-Part (CIP) Application of prior application no.: 09/440,778; filed November 16, 1999, the disclosure of which is hereby incorporated herein by reference in its entirety.  
☐ and claims the benefit of Provisional Application No. \_\_\_\_\_; filed \_\_\_\_\_.

Inventor(s) or Application Identifier:

Napier Fulton Breen, Jr., Cary, North Carolina  
Randall Hompesch, , Moncure, North Carolina

Entitled: **SYSTEMS, METHODS AND COMPUTER PROGRAM PRODUCTS FOR  
CONDUCTING REGULATION-COMPLIANT COMMERCIAL TRANSACTIONS OF  
REGULATED GOODS VIA A COMPUTER NETWORK**

Correspondence Address:



20792

PATENT TRADEMARK OFFICE

Enclosed are:

1. ☒ Application Transmittal Letter and Fee Transmittal Form (A duplicate is enclosed for fee processing)
2. ☒ 75 pages of Specification (including 78 claims)
3. ☒ 49 sheets of Formal Drawings (35 USC 113)
4. ☐ Oath or Declaration
  - a. ☐ newly executed (original or copy)
  - b. ☐ copy from prior application (37 CFR 1.63(d) (for continuation/divisional) [Note Box 6 Below]
  - c. ☐ DELETION OF INVENTOR(S) (Signed statement deleting inventor(s) named in the prior application)
5. ☐ Application Data Sheet. See 37 CFR 1.76
6. ☐ Incorporation By Reference (useable if box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under

Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

7. ☐ Microfiche Computer Program (*Appendix*)
8. ☐ Assignment papers (*cover sheet(s) and document(s)*)
9. ☒ Applicant claims small entity status. See 37 CFR 1.27.
10. ☒ Information Disclosure Statement, PTO-1449, and 27 references cited
11. ☐ Preliminary Amendment (*Please enter all claim amendments prior to calculating the filing fee.*)
12. ☐ English Translation Document
13. ☐ Certified Copy of Application No. ; Filed
14. ☐ Sequence Listing/ Sequence Listing Diskette
  - a. ☐ computer readable copy
  - b. ☐ paper copy
  - c. ☐ statement in support
15. ☐ An Associate Power of Attorney
16. ☒ Return Receipt Postcard (MPEP 503) (*Should be specifically itemized*)
17. ☒ Other: Application Filed Under 37 CFR 1.41(c)

The fee has been calculated as shown below:

	Column 1 No. Filed	Column 2 No. Extra	Small Entity Rate Fee	Large Entity Rate Fee
BASIC FEE			\$375.00	\$ 750.00
TOTAL CLAIMS	78 - 20 =	58	x 09 = \$522.00	x 18 = \$
INDEP CLAIMS	6- 3 =	3	x 42 = \$126.00	x 84 = \$
<input type="checkbox"/> MULTIPLE Dependent Claims Presented			+ 140 = \$	+ 280 = \$
<i>If the difference in Col. 1 is less than zero, Enter "0" in Col. 2</i>			Total \$1,023.00	Total \$

- ☒ A check in the amount of **\$1,023.00** to cover the filing fee is enclosed.
- ☐ A check in the amount of \$ is enclosed to cover the filing fee, PLUS the Assignment Recordation fee (\$40.00).
- ☐ Please charge my Deposit Account No. 50-0220 in the amount of \$
- ☒ The Commissioner is hereby authorized to credit overpayments or charge the following fees associated with this communication to Deposit Account No. 50-0220:
- a. ☒ Additional filing fees under 37 CFR 1.16 for presentation of extra claims.
  - b. ☒ Additional patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

*NJ Boddie II*

Needham James Boddie, II

Registration No. 40,519

**CERTIFICATE OF EXPRESS MAILING**

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Date of Deposit: June 23, 2003

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Mail Stop PATENT

APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

*Michele P. McMahan*

Michele P. McMahan

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Breen, Jr., et al.

Filed: Concurrently Herewith

For: SYSTEMS, METHODS AND COMPUTER PROGRAM PRODUCTS FOR  
CONDUCTING REGULATION-COMPLIANT COMMERCIAL TRANSACTIONS  
OF REGULATED GOODS VIA A COMPUTER NETWORK

Date: June 23, 2003

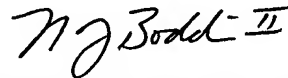
Mail Stop - Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

APPLICATION FILED UNDER 37 CFR 1.41(c)

Sir:

The above identified application is being filed on behalf of the inventors, **Napier Fulton Breen, Jr.**, a resident of Cary, North Carolina; and **Randall Hompesch**, a resident of Moncure, North Carolina under the provisions of 37 CFR 1.41(c). A Declaration and Power of Attorney from the inventors will follow, 37 CFR 1.63.

Respectfully submitted,



Needham James Boddie, II  
Registration No. 40,519

**Customer Number:**



20792

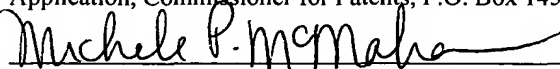
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Michele P. McMahan

Date of Signature: June 23, 2003